

APPENDIX E PS&E SUBMITTAL MEMORANDUM

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Memorandum

To: **Division of Engineering Services, Office Engineer**

**Attn: Scheduling Engineer,
Mail Station 43**

From: **DEPARTMENT OF TRANSPORTATION
OFFICE ENGINEER**

Subject: **Project Plans, Specifications, & Estimate (PS&E) Submittal**

Priority Submittal:

DES-OE processes informal and safety (Program 010) projects as the first priority. AAOE projects are assigned the same day the submittal is complete. Indicating the submittal as a safety or informal project will facilitate project assignment and processing. (See Section 10.6 and 1.6.6)

☐ Standard

☐ Safety (201.010)

☐ Informal Bid

Service Level: ☒ AAOE ☐ AADD

The service level determines the level of DES-OE effort requested by the district (see Section 3.5.1 and 3.5.2). For AADD use the AADD Database.

Project Information:

Identification: *Information required for project processing, advertisement, award, funding, federal fund participation, etc. The information is taken from the program documents, etc. (See RTL Section 10.6)*

Project Plans For:

County:	(1) _____	(2) _____	(3) _____	(4) _____
(up to 8 selections):	(5) _____	(6) _____	(7) _____	(8) _____

Route: _____

Kilometer/ Post Miles:

(Single digit after decimal.)

Metric

☐ Yes

☒ No

PM/KP Designation:

☒ PM

☐ KP

Dist-Co-Rte. KP: _____

PPNO: _____

Resp Dist: _____

Assembly Dist¹: _____

Primary/Combined EA: _____

Resp Unit: _____

Senate Dist¹: _____

Secondary EA¹: _____

Congressional Dist¹: _____

Description: *Same as the project location description on the title sheet **** DO NOT USE ABBREVIATIONS*

Work Description: *List types of work in general terms using a maximum of 70 characters.*

Approval: EA from Project Report: - _____

PA/ED Date: _____

This is the expenditure authorization date from the project report and the Project approval/Environmental Document date that authorized this project

Personnel: *List the names of the personnel involved in the preparation of the PS&E. The information is needed for communication purposes. The responsible District is the one performing the District Office Engineer function.*

State:	Name	Phone Number
Project Engr./Oversight Engr.:		
Drafting Standards Reviewer:		
District Reviewer: Roadway:		
Electrical:		
Landscape Architect:		
District Estimator:		
District Office Engr.:		
Project Manager - 3 Initials/Name:		
Structure Project Engr.:		
Structure Specification Engr.:		
Structure Estimator:		

Local Agency or Consultant:	Name	Phone Number
Agency or Firm:		
Project Engineer:		
Project Manager:		

Performance Indicators:

Non-Standard Special Provisions: []

List all Non-Standard Special Provisions providing Title/Description, functional owner, target approval date or actual date of approval. HQ owner approval of Non-Standard Special Provisions is a conditional of section 6C of the RTI Certification.

Title/Description	Functional Owner	Target Approval Date	Actual Approval Date

Permits: [**NONE**]

Agency:	Issue Date	Expiration Date	Target Date

Information Handout:
Indicate whether or not this project has Information Handout.

☐ YES ☐ NONE

Explanation for permits not approved:

Design:	<p>RE Pending File: Submitted to Construction RE</p> <p style="text-align: right;">Actual Submittal Date: _____</p> <p style="text-align: right;">Target Submittal Date: _____</p> <p>(No later than RTL date) <i>Indicate the submittal target date to the Construction RE, but no later than the RTL date.</i></p> <p><input type="checkbox"/> List of Salvageable Materials <i>Check if List of Salvageable Materials is provided.</i></p>
	<p>Survey File: Submitted to the Project Surveyor</p> <p style="text-align: right;">Actual Submittal Date: _____</p> <p style="text-align: right;">Target Submittal Date: _____</p> <p>(No later than RTL date) <i>Indicate the submittal target date to the Project Surveyor, but no later than the RTL date. Leave submittal dates blank if no surveys are needed.</i></p> <p><input type="checkbox"/> Verification of Survey File Delivery Form <i>Check if the form is provided, required on all projects.</i></p>

Design (Continued) : Landscape:	Compost: For erosion control (include hydroseeding and dry apply) _____ yd ³ <i>Indicate the volume of compost used with Erosion Control applications and planting operations. Includes soil amendment, green material (compost and bark mulch) used for compost blanket or incorporated compost.</i>
	Highway Planting: Replacement Planting (due to road work) _____ acres Mitigation Planting _____ acres <i>Indicate the area of planting and irrigation work required due to new road construction or planting as a mitigation requirement</i>
	Mulch (Include mulch in basins): Wood chips/Tree bark/Shredded bark _____ yd ³ <i>Indicate the volume of mulch used from wood chips, or bark</i> Inert material (e.g., gravel, loose cobbles, decomposed granite, etc.) _____ yd ² <i>Indicate the area of inert materials used as ground cover</i>
	Recycled Water: Project uses recycled water for irrigation? <input type="radio"/> Yes <input type="radio"/> No Estimated annual recycled water usage: _____ acre ft/yr. <i>Indicate if the project will use recycled water. Indicate the estimated annual recycled water use for the project.</i>
	Wildflower seeding _____ yd ² Or if not appropriate Value of wildflower seeding to be tracked for future project. _____ (must be 1/4 of 1% of planting & irrigation estimate.) <i>Indicate the area of Wildflower Seeding. DO NOT include any wildflowers included in Erosion Control applications. If no seeding is applied on this project and it is required, indicate the value of wildflower seeding to be tracked for a future project. The value is calculated as .25 of 1% of the total value of planting and irrigation.</i>
	Worker Safety: Gates (drive, soundwall and walk gates) _____ EA Number of Maintenance access roads _____ EA Maintenance access roads total length _____ ft Paving (e.g. narrow areas, road edge, slope paving and paving beyond the gore area) _____ yd ² Maintenance vehicle pullouts (MVP) _____ EA <i>Indicate the number of gates, area and quantity of maintenance access roads, area of paving and number maintenance vehicle pullouts</i>

Funding: (Project Funding Package attached and funding verified)Program : ☐ STIP ☐ SHOPP ☐ Other ☐ Maintenance ☐ Minor AProgram Code:
(TRAMS)

Budget Year (FY): _____

*The code as shown in**http://onramp.aot.ca.gov/nq/accounting/Coating_Manual/Tables/cnd7_20.htm**The year the project's construction
fund is budgeted for.*

Is this project eligible for Congestion Mitigation and Air Quality Improvement (CMAQ)?

☐ Yes ☐ No*If yes, district must provide an emission reduction study to the Office of Federal Resources, Division of Budgets*This project is not eligible for **federal funding** due to

- ☐ Determination by FHWA Engineer _____ dated _____
- ☐ Funding by Maintenance (HM) Program
- ☐ Does not qualify per Federal-aid Project Funding Guidelines.
- ☐ Other

Federal Participation:

Indicate whether the project is Delegated or High Profile regarding FHWA review and oversight. If High Profile, the name of the FHWA Engineer and the date the High Profile Project Agreement was executed is to be shown. See PDPM Chapter 2, Figure 2, for determination of FHWA oversight. Note that the designation "State Authorized" is now changed to "Delegated," and the designation "Full Oversight" is now changed to "High Profile." Contact the appropriate FHWA Engineer to confirm the determination.

"This project is eligible and programmed for federal funding and has been determined to be:

- ☐ Delegated regarding FHWA review and oversight per the Stewardship Agreement between the Department and FHWA.
- ☐ High Profile requiring FHWA's review and approval of only those items listed in the High Profile Project Agreement"

_____: Dated _____

Is the project in the current approved Federal STIP? ☐ Yes ☐ No

If YES, provide one of the following:

- The current adopted FTIP./FSTIP information (For Non-MPO Rural counties, use "Rural " for MPO):

MPO _____ FTIP / FSTIP cycle _____ FY programmed _____ Federal Approval Date _____

- The approved FTIP / FSTIP Amendment information (if applicable):

FTIP/FSTIP amendment number _____ and amendment Federal approval date _____

If NO, provide the following target information:

Proposed FTIP/FSTIP amendment number _____ and amendment target MPO approval date _____

List the structure name, number, begin and end stations. This information is to be provided by SOE.

[illegible]

The expense to the State due to the Contractor's failure to complete the contract within the specified time
See "Liquidated Damages" in Section 6.10 for the formula to calculate liquidated damages.

Special Features: (Approval attached)

	Justification/ Approval Date	Target Date
<input type="checkbox"/> Design Sequencing
<input type="checkbox"/> Escrow
<input type="checkbox"/> Incentive/Disincentive
<input type="checkbox"/> Informal		
<input type="checkbox"/> Partnering		
<input type="checkbox"/> Pre-Award Qualification		
<input type="checkbox"/> TERO
<input type="checkbox"/> TRO
<input type="checkbox"/> Value Analysis
<input type="checkbox"/> Warranty

Estimate:

Indicate the total cost, number of contract items, the BEES keyword and the call out number
See http://projdel.dot.ca.gov/des/documents/decisiondocs/call_out_number.pdf on how to
round the contract items subtotal for use as the call out number. (Note: Includes Electrical
and Landscape/Erosion Control)

Landscape Involved	<input type="checkbox"/>
Electrical Involved	<input type="checkbox"/>

(Road)	+	(Structures)	+	(Building)	=	Total Cost:	No. of Contract Items:
.....	
Call Out Number:						BEES Keyword:
						Latest Estimate Date:
						

Bid Type: ☐ Unit Price ☐ Cost+Time ☐ Lump Sum

Indicate the type of bid. Select one of three choices.
"Unit Price" bid is the total of item cost (product of the quantity and unit price of each contract item.).
"Cost+ Time" (currently designated as "A+B") bid is the sum of the total of item cost and the product of the number of working
days bid to complete the work (excluding Plant Establishment) and the cost per day
"Lump Sum" bid is a single amount for all the items of work

Construction Window: Provide recommended begin construction date based on RTL funding and construction
Indicate the description, location and dates work can NOT be performed.

Recommended Begin Construction

Construction Window Constraints that affect Begin Construction Date: (e.g. Events, Windows due to Climate or
Environmental Constraints, Adjacent Construction, etc.)

Description, Location & Dates work CAN NOT be performed.
.....
.....
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SUBMITTED BY:
(Signature Of DOE/ROE

REVIEWED BY:
(Signature Of Project Manager)

PS&E Distribution List *Indicate and provide the applicable document to Divisions that are identified.*

ADDRESSEE	WHEN	PORTION
<input type="radio"/> District Project Manager	ALL PROJECTS	Cover Memo and RTL Certification (Draft or Final)
<input type="radio"/> Division of Engineering Services Office Engineer (ftp://10.168.8.5/psedropbox or MS 43)	ALL PROJECTS	Full PS&E package with project plans (See Section 10, Table 10.1 of RTL Guide)
<input type="radio"/> Division of Engineering Services Structure Office Engineer (MS 9)	If Structures or Buildings involved	Full PS&E package with project plans
<input type="radio"/> Division of Local Assistance Office of Local Programs, Project Implementation (MS 1)	If Measure or Local funding involved	Cover Memo, RTL Certification (Draft or Final) and if all funding is Measure/Local etc., one copy of each Cooperative Agreement, finance letter.
<input type="radio"/> Division of Design Office of State Landscape Architecture (MS 28)	If project has more than \$120,000 of Highway Planting work	Full PS&E package with project plans including water letters, Design Intent Statement and Fact Sheet
<input type="radio"/> Division of Maintenance (MS 31)	All projects with Maintenance funding	Full PS&E package with project plans
<input type="radio"/> Division of Traffic Operations (MS 36)	If (HB 1) 201.010, 201.015 or 201.020 Program	PS&E package without Special Provisions
<input type="radio"/> Division of Traffic Operations Toll Bridge Operations Branch (MS 36)	If Toll Bridge (TBF) funding involved	PS&E package without Special Provisions
<input type="radio"/> Division of Budgets Office of Federal Resources (MS 23)	ALL PROJECTS except Maintenance	Cover Memorandum & RTL Certification (Draft and Final) FHWA PS&E Approval Transmittal (rev 2005) R/W certification NEPA Environmental certification signature sheet Funding Package Funds Request Letter Engineer's Estimate - segregated BEES Cooperative Agreement Location map Valid FTIP Amendment Electronic E-76 <u>Check applicable items and submit:</u> <input type="checkbox"/> High Profile Project Agreement <input type="checkbox"/> Executed R/R Service Contract Agreement <input type="checkbox"/> Design Exception & Fact Sheet <input type="checkbox"/> Director's Order <input type="checkbox"/> Damage Assessment Form (DAF) <input type="checkbox"/> Cost Effectiveness/Public Interest Finding (PIF) Statement <input type="checkbox"/> Emissions Reduction Study (CMAQ Eligible Projects) <input type="checkbox"/> Value Analysis Study (if estimate over \$25 million, on NHS) <input type="checkbox"/> Army Corp of Engineers 404 Permit <input type="checkbox"/> Supplemental Work Justification Memo <input type="checkbox"/> State Furnished Materials Justification Memo <input type="checkbox"/> Approved Finance Plan (if estimate over \$100 million) <input type="checkbox"/> Approved Project Management Plan (if estimate over \$500 million) <input type="checkbox"/> **Environmental Commitments Record (ECR) or (MMRR) <input type="checkbox"/> **Noise Study **Technical Reports should have been submitted prior to PS&E submittal. Provide upon FHWA Engineer request.

PS&E Distribution List (Continued)

ADDRESSEE	WHEN	PORTION
<p><u>External Offices:</u></p> <p><input type="radio"/> FHWA 650 Capitol Mall, Ste. 4-100 Sacramento, CA. 95814-4708 Attn: Jeff Lewis</p>	<p><u>HIGH PROFILE PROJECTS</u> (Submit only those items that require FHWA review and approval per the High Profile Project Agreement.)</p>	<p>High Profile Project Agreement Full PS&E package with project plans FHWA Design Approval Transmittal Memo (rev 2005) Cover Memorandum & RTL Certification (Draft or Final) Environmental Certification and PS&E Ready to List Review Tool R/W certification PE H/L Risk Utility Cert Funding Package Funds Request Letter Engineer's Estimate - segregated BEES Cooperative Agreement Location map</p> <p><u>Check applicable items and submit:</u></p> <p><input type="checkbox"/> Executed R/R Service Contract Agreement <input type="checkbox"/> Design Exception & Fact Sheet <input type="checkbox"/> Director's Order <input type="checkbox"/> Damage Assessment Form (DAF) <input type="checkbox"/> Cost Effectiveness/Public Interest Finding (PIF) Statement <input type="checkbox"/> Value Analysis Study (if estimate over \$25 million, on NHS) <input type="checkbox"/> Army Corp of Engineers 404 Permit <input type="checkbox"/> Supplemental Work Justification Letter <input type="checkbox"/> State Furnished Materials Justification Letter <input type="checkbox"/> Finance Plan (if estimate over \$100 million) <input type="checkbox"/> Project Management Plan (if estimate over \$500 million) <input type="checkbox"/> **Environmental Commitments Record (ECR) or (MMRR) <input type="checkbox"/> **Noise Study <input type="checkbox"/> **New/Revised Access Report <input type="checkbox"/> **Materials Report</p> <p>**Technical Reports should have been submitted prior to PS&E submittal. Provide upon FHWA Engineer request.</p>

Notes